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<b>Substitute for form 1449A/PTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				<b>Complete if Known</b>	
				Application Number	Not Yet Assigned
				Filing Date	August 29, 2001
				First Named Inventor	Paul A. Farrar
				Group Art Unit	2812
				Examiner Name	D. Zarneke
Sheet	1	of	1	Attorney Docket Number	M4065.0382/P382-A

10986 U.S. PTO 09/19/01 08/29/01

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
✓	A	5,920,121		Forbes, et al.*	07/06/1999	
✓	B	6,100,176		Forbes, et al.*	08/08/2000	
✓	C	6,121,126		Ahn, et al.*	09/19/2000	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				

Examiner Signature		Date Considered	9/16/02
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the application number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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<div>Substitute for Form 1449, 11/19/00</div> <div><b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b></div> <div>(use as many sheets as necessary)</div>				<b>Complete if Known</b>	
				Application Number	09/940,792
				Filing Date	August 29, 2001
				First Named Inventor	Paul A. Farrar
				Group Art Unit	2812
				Examiner Name	D. Zarneke
Sheet	1	of	2	Attorney Docket Number	M4065.0382/P382-A

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
EL	A	5,963,838		Yamamoto et al.	10/15/1999	

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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 2 of 2

## Complete if Known

Application Number	09/940,792
Filing Date	August 29, 2001
First Named Inventor	Paul A. Farrar
Group Art Unit	2812
Examiner Name	D. Zarneke
Attorney Docket Number	M4065.0382/P382-A

## OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
CL	B	F.A. Nichols, et al. - "Surface- (Interface-) and Volume-Diffusion Contributions to Morphological Changes Driven by Capillarity," Transactions of the Metallurgical Society of AIME, Volume 233, October 1965, pgs. 1840-1848*	
CL	C	Tsutomu Sato, et al. - "A New Substrate Engineering for the Formation of Empty Space in Silicon (ESS) Induced by Silicon Surface Migration," 1999 IEEE, pgs. 517-520*	
CL	D	U.S. Application, Serial No. 09/069,346 filed April 29, 1998, Attorney docket #303.367US1, pgs. 1-22 w/6 shts. drwgs.*	

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